Company LOGO

COMPANY NAME

Company Email

**Disciplinary Policy**

**Purpose:**

**COMPANY NAME** is committed to treating all staff fairly and equitably and to helping individuals to perform effectively. However, there will be occasions when it may be necessary to invoke disciplinary procedures. Should the need arise, the individual will be given the opportunity to improve throughout the stages of the procedure.

**Aim:**

When work falls below an acceptable standard, help will be given to the individual to

improve. If standards of work continue to fall and there is a necessity for action, it will

automatically begin with a pre-disciplinary informal discussion. Similarly, when an

individual’s behaviour is potentially inappropriate and unacceptable, it will mean the

initiation of a pre-disciplinary informal discussion or the disciplinary procedure, depending

on the severity.

If disciplinary action should become necessary, each case will be treated consistently and

fairly, and the disciplinary procedure will be observed at all stages. The individual will be

given the opportunity to provide their version of events and any extenuating circumstances

will be considered. An individual’s rights will be upheld at all times, and employees will have

the right to:

● know the case against them

● reply

● have due consideration of their case

● be accompanied

● appeal

This policy is adopted on a non-contractual basis and therefore does not make up part of

employees’ contractual terms and conditions.

**Investigation**

Prior to taking the decision to invoke the disciplinary procedure, **COMPANY NAME** will ensure that a thorough investigation is carried out. This is a fact-finding process and may necessitate the gathering of detailed information as well as the carrying out of formal interviews, taking of written statements, etc. A proper investigation is an integral part of the process and, where an allegation of gross misconduct is involved, may require individuals to be suspended on contractual pay whilst this is carried out. Suspension on pay is not considered to be a sanction taken under the disciplinary procedure. It is there to ensure that issues are dealt with in a fair and reasonable manner, and adequate protection is given to all employees.

**Informal pre-disciplinary discussion**

Where appropriate, prior to using the formal aspects of **COMPANY NAME**’s disciplinary procedure, a pre-disciplinary discussion will be held with the individual.

Minor misconduct, poor performance or minor breaches of rules will normally result in an

informal warning being given by the immediate manager. This will not be recorded in

writing. If that approach is not successful, **COMPANY NAME** is likely to escalate it to the formal disciplinary procedure.

**The disciplinary procedure**

This procedure will be used in cases of a breach of the rules or poor performance that have

not been remedied by an informal warning. Normally, the procedure will follow the stages

listed below, although it is acceptable to move directly to stages two or three if a case is

sufficiently serious.

From the first formal stage of the disciplinary procedure there will be the presence of the

immediate manager in conjunction with another member of the management team.

Individuals have the option to have a work colleague or trade union representative present.

At each stage in the procedure a disciplinary meeting will be held where all the facts will be

considered, and any mitigating circumstances discussed. Where a warning is issued a copy

will be placed on the individual’s personnel file for the specified period. All warnings issued

under this procedure will state clearly that the individual will be liable for further disciplinary action should their performance not improve or should there be a further breach of organisation rules. In the event of no further misconduct occurring and the performance improving, the warning will be removed, and the individual’s file will be clear.

The individual will also be advised of their right to appeal against the decision to take disciplinary action.

**Your right to be accompanied:**

You are entitled to be accompanied by a colleague or trade union representative at any

meeting called under this policy.

If you want to exercise this right, you should tell us as soon as possible who you want to

accompany you. It is your responsibility to arrange for them to attend. If you choose a work

colleague, we will not prevent them from attending, but we may rearrange the meeting if

their absence from work would cause operational problems.

Your colleague or trade union representative can, if you would like them to, explain the key

points of your grievance at the meeting and can respond on your behalf. You can also confer with them during the meetings. However, they must not answer questions put directly to

you or try to prevent us asking questions or expressing our views.

The stages in the disciplinary procedure are as follows:

**First written warning (stage one)**

A first written warning will be applied where the matters of concern are substantiated. A

record of the first written warning will be given to the individual and a copy will be retained

on the personnel file for 6 months unless there is repetition within this period.

**Final written warning (stage two)**

A final written warning will be applied where the matters of concern are substantiated. A

record of the final written warning will be given to the individual and a copy will be retained

on the personnel file for 12 months unless there is repetition within this period. The

individual will be informed that further misconduct within the specified period may result in their dismissal.

**Dismissal or action short of dismissal (stage three)**

An individual will be dismissed if they have failed to improve during the previous stages. In

the event of a gross misconduct allegation, **COMPANY NAME** may enter the process at stage three and dismissal for first offence may occur . Alternatively, to dismissal, the organisation may decide that suspension without pay, transfer or demotion are appropriate sanctions.

**Gross misconduct**

The following offences will be viewed by the organisation as gross misconduct:

● unauthorised use of **COMPANY NAME’s** assets and equipment.

● insubordination e.g., refusal to carry out duties or obey reasonable instructions, except where employee safety may reasonably be in jeopardy.

● intentional sexual harassment, harassment, bullying or violent, dangerous or intimidatory conduct.

● serious breach of rules, policies or procedures, especially those designed to ensure safe operation.

● divulging or misusing confidential information.

● theft or fraud.

● possession or consumption of alcohol or drugs, or intoxication by reason of alcohol or drugs, which could affect work performance in any way or have an impact on other individuals.

● unauthorised or inappropriate use of email, internet and/or computer systems.

● falsification of any organisation records including reports, accounts, expenses claims

or self-certification forms.

● bringing unauthorised person(s) onto organisation premises.

This list of examples is not exhaustive or exclusive, and offences of a similar nature will be

dealt with under this procedure. Gross misconduct will result in the initiation or escalation

of the organisation disciplinary procedure and may result in immediate dismissal without

notice or pay in lieu of notice.

**Appeals**

At every stage, the individual has the right to appeal in writing. In all cases of dismissal or

demotion, the Chair of Trustees will be considered as the final arbiter. If you wish to appeal

you should do so in writing within 10 working days of the decision. You will be invited to

attend an appeal hearing, after which a decision will be made on whether the disciplinary

sanction is to be upheld or overturned. The decision of the appeal panel will be final.

**Third parties**

**COMPANY NAME** reserves the right to engage an independent third party to assist at any stage of the disciplinary procedure.

**Version Control**

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| Version | Author | Date | Approved by **COMPNY NAME** Trustees |
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